

## Preparing for Phase III Approval: New Construction

### Introduction

As part of the project's final design stage, the final plans and accompanying documents are developed by the project architect for each contract. The documents are used to establish a final construction budget.

The construction stage (Phase III) of the application provides funds which allow the district to initiate the construction of the school facilities.

### Required Documents

The following documents are required to prepare an application for a Phase III approval:

NON-OSA APPROVED FINAL PLAN PACKAGE		
DOCUMENT NUMBER	DOCUMENT NAME	SEE PAGE
<input type="checkbox"/> none	Non-OSA Approved Final Plans	3-C-3
<input type="checkbox"/> none	Non-OSA Approved Final Specifications	3-C-7
<input type="checkbox"/> none	3A Diagrams: Diagrams of Proposed Facilities	3-C-13
<input type="checkbox"/> SAB 506A	Estimated Project Cost Detail	3-C-14
<input type="checkbox"/> SAB 506B	Summary of Estimated Costs	3-C-14

OSA APPROVED FINAL PLAN PACKAGE		
DOCUMENT NUMBER	DOCUMENT NAME	SEE PAGE
<input type="checkbox"/> none	OSA Approved Final Plans	3-C-15
<input type="checkbox"/> none	OSA Approved Final Specifications	3-C-15
<input type="checkbox"/> none	3A Diagrams: Diagrams of Proposed Facilities	3-C-15
<input type="checkbox"/> SAB 506A	Estimated Project Cost Detail	3-C-14
<input type="checkbox"/> SAB 506B	Summary of Estimated Costs	3-C-14
<input type="checkbox"/> SAB 390	Certification of Changes to Final Plans and Specifications	3-C-17
<input type="checkbox"/> none	Addenda (if applicable)	3-C-18

**In This Section**

This section includes the following topics:

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## Non-OSA Approved Final Plans

### Introduction

This set of plans provides a final design of the proposed school facilities. The final plans are intended to provide sufficient information concerning quantities and types of work and materials to adequately support the cost estimate. This document is used to develop a final construction budget in preparation for the Phase III recommendation.

### Required Final Plan Components

The following components reflect the *minimum essential* detail necessary on the final plans:

COMPONENT	DESCRIPTION
Title Sheet	<ul style="list-style-type: none"> <li>For purposes of determining the geographic index, a vicinity map showing city location in relation to adjacent cities and major highways must be included. Refer to <i>Appendix 11, Geographic Adjustment Factors</i>.</li> <li>Index to plans identifying all components of the plan set.</li> <li>Legends/labels identifying all building areas. In addition, building area not included in the contract (N.I.C.) must be noted (see <i>Example 1: Legends/Labels, page 3-B-29</i>).</li> <li>North arrow to be included on all plan layout sheets.</li> <li>Site plan indicating location of existing and proposed facilities.</li> </ul>
Civil Drawings	Civil drawings must indicate existing conditions and proposed changes in the site contour, including a layout for the proposed installation of utility services, on-site development and off-site development, and demolition.

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**Required Final Plan  
Components, continued**

COMPONENT	DESCRIPTION
Architectural Drawings	<ul style="list-style-type: none"> <li>Complete dimensioning of all buildings including corridors, both interior and exterior. Building measurements are taken from the exterior rough wall line to the center line of interior walls and partitions. Covered unenclosed corridors are measured from the exterior rough wall line to the edge of any paving or the edge of the overhang, whichever is less.</li> <li>All building area must be labelled in accordance with the appropriate facilities classification (see <i>Building Cost Standards</i> pages 3-B-52 through 3-B-59).</li> <li>Numeric designations for all areas calculated at the actual area.</li> <li>Alpha designations for all areas calculated at less than the actual area, (i.e., covered unenclosed spaces; see <i>Example 2: Facility Designations</i>, page 3-B-30).</li> <li>Relocatable plans in sufficient detail to verify compliance with SAB standards.</li> </ul>
Structural	Structural drawings in compliance with OSA requirements.
Mechanical	Drawings and schedules of heating, air-conditioning, plumbing and energy conservation measures.
Fire Protection	Drawings and details of fire protection plan in compliance with State Fire Marshal requirements.
Electrical	Plans and details to include transformers, fixtures, lighting, power, security, intercom, public address systems, etc.
Landscaping	Plans for the landscaping of school grounds.
General Notes	General information regarding the scope of the project and typical construction conventions.

**Non-OSA approved final plans must represent the total scope of the project as it will be presented to the bidders.**

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**Where to Submit Plans,**

The district must submit a set of final plans and specifications to each of the following:

AGENCY	COUNTIES	SEND TO
Office of Local Assistance (one set)	All counties except Imperial, Orange, Riverside, and San Bernardino	Office of Local Assistance 501 J Street, Suite 400 Sacramento, CA 95814 (916) 445-3160
	Imperial, Orange, Riverside, and San Bernardino	Office of Local Assistance 9681 Business Center Dr., Bldg. 16 Rancho Cucamonga, CA 91730 (714) 945-1316
Office of the State Architect (two sets)	<b>Area I</b> Alameda, Contra Costa, Del Norte, Humboldt, Lake, Marin, Mendocino, Monterey, Napa, San Benito, San Francisco, San Mateo, Santa Clara, Santa Cruz, Solano & Sonoma	OSA/Structural Safety Section 301 Howard Street, Suite 400 San Francisco, CA 94105 (415) 396-9500
	<b>Area II</b> Alpine, Amador, Butte, Calaveras, Colusa, El Dorado, Fresno, Glenn, Kings, Lassen, Madera, Mariposa, Merced, Modoc, Nevada, Placer, Plumas, Sacramento, San Joaquin, Shasta, Sierra, Siskiyou, Stanislaus, Sutter, Tehama, Trinity, Tulare, Tuolumne, Yolo & Yuba	OSA/Structural Safety Section 400 P Street, 5th Floor Sacramento, CA 95814 (916) 445-0584
	<b>Area III</b> Inyo, Kern, Los Angeles, Mono, Orange, San Bernardino, San Luis Obispo, Santa Barbara and Ventura	OSA/Structural Safety Section 107 So. Broadway, Room 3029 Los Angeles, CA 90012 (213) 897-3995
	<b>Area IV</b> Imperial, Riverside and San Diego	OSA/Structural Safety Section 15373 Innovation Drive, Suite 250 San Diego, CA 92128 (619) 674-5400

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**Where to Submit Plans,  
continued**

AGENCY	COUNTIES	SEND TO
California Department of Education (one set)	All counties	California Department of Education School Facilities Planning Division Walk in: 560 J Street, Suite 565 Sacramento, CA 95814  Mail in: P.O. Box 944272 Sacramento, CA 94244-2720 (916) 322-2470
Local	All counties	Local agency jurisdiction

**Manufactured  
Relocatables**

When a project includes factory manufactured relocatables, the plans and specifications as furnished by the manufacturer, are submitted by the project architect to the Office of the State Architect (OSA) and the OLA.

Approval of the plans and specifications by OSA is necessary prior to the commencement of the contract. As with any contract, all documents as outlined under *Required Documents, page 3-C-1*, must be submitted to the OLA.

**Factory Manufactured  
Relocatables**

When the non-OSA approved final plan package has been received, the OLA will submit a recommendation to the SAB for a construction apportionment for factory manufactured relocatables. Prior to this apportionment, the OSA *approved* plan package for both the site development and permanent building portions, if applicable, must have been received. ☺

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# Non-OSA Approved Final Specifications

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## Introduction

Specifications must accompany the non-OSA approved final plan submittal for each contract. The OLA does not dictate the contents of the specifications; however, certain items must be addressed.

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## Specification Components

The following components must be included in the specifications:

- Bid Form
- Construction Contract
- Bonds
- Substitution of Securities

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## Cash Allowance Incentives

Cash allowance incentives (i.e., bonus for early contract completion) are not permitted.

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## Time and Materials

Items and/or labor approved and funded by the SAB may not be accomplished on a time and materials basis.

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## Use of District Personnel

The use of school district personnel to install and fabricate materials is prohibited. ☹

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# Bid Form

## Introduction

The bid form delineates the scope and terms of the contract. The format of the bid form is left to the discretion of the district. A prototype of the bid form is included in the project specifications and submitted with the non-OSA approved final plan package.

## Required Elements

The following elements are required in the bid form:

ELEMENT	DESCRIPTION/REQUIREMENT
Identification	Indicate school name, location and general scope of the project.
Statement of Good Faith	<p>The following language is suggested:</p> <p><i>“The undersigned hereby promises and agrees to furnish all labor, materials, equipment, mechanical workmanship, transportation, and services for the erection and completion of said work, in strict accordance with the plans and specifications”.</i></p> <p>The bidder is legally bound to perform all of the work for a stated lump sum.</p>
Base Bid	Contractor's cost to include the full scope of the project not including alternates.
Alternates	Limited to two deductive alternates to include not more than ten building construction items. Site development and utilities may not be part of an alternate.
Time of Completion	The number of calendar days necessary to complete the contract. The specified time for completion must be reasonable for the scope of the project.
Liquidated Damages	The amount per day to be deducted from the contract sum for construction delays beyond the expressed date of completion. Unusually harsh penalties for minor delays in meeting the contract terms are not acceptable.

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**Required Elements,  
continued**

ELEMENT	DESCRIPTION/REQUIREMENT
Bid Bond	Contractors submitting bids must provide a bid bond in the amount of ten percent of the base bid, to insure the contractor's intent to culminate the contract. In lieu of the bond, the contractor may provide a cashier's check amounting to ten percent of the base bid. The bid bond must be issued by an admitted surety (an insurance organization authorized by the Insurance Commissioner to transact business of insurance in the State of California).
Notice of Bid Acceptance	A written notice of bid acceptance will be issued within 60 days after the date of bid opening. At that time, the successful bidder must sign the construction contract and furnish the required bonds within five days of the notice of award.
Addenda	The bid form must indicate any addenda. The receipt of the addenda must be acknowledged by the bidder.
Designation of Subcontractors	The bidder must designate the names and location of the place of business of each subcontractor.

# Construction Contract

## Introduction

The construction contract is the agreement between the successful bidder and the district. The contract delineates the terms and scope of the project. A prototype of the construction contract must be included in the project specifications and submitted with the non-OSA approved final plans package.

## Required Elements

The following elements are required in the construction contract:

ELEMENT	DESCRIPTION
Identity of Project	Indicate school name and location.
Contract Amount	The full amount to be paid to the contractor for the scope of the work agreed upon in accordance with the provisions of the general conditions.
Time of Completion	The number of calendar days necessary to complete the contract. The specified time for completion must be reasonable for the scope of the project.
Liquidated Damages	The amount per day to be deducted from the final contract sum for construction delays beyond the expressed date of completion. Unusually harsh penalties for minor delays in meeting the contract terms are not acceptable.
Signatures	A signature block for the following: <ul style="list-style-type: none"> <li>• District's authorized agent, or</li> <li>• quorum of the District's Board of Trustees; and</li> <li>• Contractor; and</li> <li>• District's legal counsel</li> </ul>
Liability	Contracts between the school district and its General Contractor or Builder etc., must contain the following language: <p><i>The Contractor agrees that the State of California, including the State Allocation Board, is not liable for any damages of any kind arising out of this contract, and that the Contractor's sole remedy is against the District and only the District is liable for any injury the Contractor may suffer under this contract.</i></p>

# Bonds

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## Introduction

The project specifications must include a facsimile of both the faithful performance bond and the labor and materials bond to be provided by the successful bidder.

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## Faithful Performance Bond

The bond of faithful performance assures that the contractor will perform each and all of the conditions set forth in the construction contract. The bonding must be equal to 100 percent of the construction contract sum and must be issued by an admitted surety (an insurance organization authorized by the Insurance Commissioner to transact business of insurance in the State of California).

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## Labor and Materials Bond Introduction

The labor and materials bond assures that the contractor and subcontractors will provide the labor and materials necessary to complete the terms of the contract. The bonding must be equal to 50 percent of the construction contract sum and must be issued by an admitted surety (an insurance organization authorized by the Insurance Commissioner to transact business of insurance in the State of California). ☺

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# Substitution of Securities

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## Introduction

An option for the substitution of securities by the contractor must be included in the project specifications. Failure to provide this option shall void any provisions for performance retentions in the contract.

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## Terms of Security Substitution

The contractor may choose to deposit ten percent of the contract amount in lieu of the district withholding any monies from progress payments. Normally, only 90 percent of each payment is released and the balance of ten percent is retained by the district. The substitution of securities guarantees 100 percent of each progress payment.

The substitution of securities by the contractor may be satisfied by any of the following:

- cash
- real property holdings
- other assets

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## Security Deposits

Securities in the amount withheld may be deposited with the following:

- District
- State or Federally chartered bank

Upon satisfactory completion of the contract, the security deposit plus any interest will be returned to the contractor. ☺

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## 3A Diagrams: Diagrams of Proposed Facilities

### Introduction

The 3A diagrams depict all proposed facilities located on the project site. The 3A diagrams *must* accurately reflect the buildings as dimensioned in the plans.

These diagrams must be prepared in accordance with the requirements for 1A diagrams (see *Diagrams of Existing Facilities, pages 3-A-10 through 3-A-11*).

### 3A Diagram Components

The major components of the 3A diagrams are described below:

COMPONENT	DESCRIPTION
Plot Plan	Indicates location of new buildings included in the project and their relationship to existing structures.
Site Summary	Provides an itemization of all buildings/building area located on the project site.
Building Diagram	<p>Complete dimensioning of all proposed buildings, including corridors, both interior and exterior. Building measurements are taken from the exterior rough wall line to the center line of interior walls and partitions.</p> <p>All proposed building area must be labeled in accordance with the appropriate facilities classification (see <i>Building Cost Standards, pages 3-B-52 through 3-B-59 and Example 3: 2A Diagrams, page 3-B-32</i>).</p> <p>Numeric designation for all areas calculated at the actual area.</p> <p>Alpha designation for all areas calculated at less than the actual area.</p>
Area Calculation Sheet	Indicates area breakdown and summary of proposed facilities (see <i>Examples 4: 2A Diagram Calculations Detail and 4A: 2A Diagram Calculations Summary, pages 3-B-33 and 3-B-34 respectively</i> ).

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## Cost Estimates: Forms SAB 506A and SAB 506B

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### Introduction

The cost estimates accompanying the non-OSA approved final plans as well as the OSA approved final plans must be prepared with the same diligence as the preliminary cost estimates (see *Cost Estimates: Form SAB 506A and Form SAB 506B, page 3-B-35*).

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### Updates

Updates to the cost estimates must be made if those previously submitted are more than 90 days.

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### Required Signatures

The cost estimates must contain the original signatures of a licensed architect or structural engineer. ☺

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## OSA Approved Final Plans and Specifications

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### Introduction

At this stage of the project, the Office of the State Architect (OSA) has reviewed and approved the final plans and specifications. Subsequent to the OSA approval, the complete OSA approved final plan package is submitted to the OLA (see *Required Documents, OSA Approved Final Plan Package, page 3-C-1*). At this point, a construction apportionment (Phase III) will now be recommended to the SAB.

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### Separate Contracts

When a project is comprised of more than one contract (site development, manufactured relocatables and/or permanent building facilities), a construction apportionment *will* be recommended to the SAB once the plans and specifications for the site development, manufactured relocatable buildings and permanent building facilities, if applicable, have obtained OSA approval.

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### OSA Approved Final Plan Components

The OSA approved final plan components are identical to the those of the non-OSA approved final plans (see *pages 3-C-3 through 3-C-6*). In addition, the plans must bear the approval seals of the Office of the State Architect and State Fire Marshal.

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### OSA Approved Specification Components

The OSA approved specification components are identical to those of the non-OSA approved specifications (see *page 3-C-7*). In addition, the specifications must bear the seals of the Office of the State Architect and State Fire Marshal.

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### 3A Diagrams

The 3A diagrams are required at this submittal only if changes have occurred in the proposed building area and teaching station designations.

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**Where to Submit Plans**

The OSA approved final plans and specifications must be submitted to:

AGENCY	COUNTIES	SEND TO
Office of Local Assistance	All counties except Imperial, Orange, Riverside, and San Bernardino	Office of Local Assistance 501 J Street, Suite 400 Sacramento, CA 95814 (916) 445-3160
	Imperial, Orange, Riverside, and San Bernardino	Office of Local Assistance 9681 Business Center Dr., Bldg. 16 Rancho Cucamonga, CA 91730 (714) 945-1316

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# Form SAB 390, Certification of Changes to Final Plans and Specifications

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## Introduction

The OSA approved final plan package submitted to the OLA must contain the *Form SAB 390, Certification of Changes to Final Plans and Specifications*.

The purpose of this form is to certify any changes made to the OSA approved final plans since the non-OSA approved final plans package submittal. Any changes reported on the Form SAB 390 must be supported by revised cost estimates (Form SAB 506A and Form SAB 506B).

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## Certification

The project architect is responsible for completing this certification. This certification addresses changes made to the following:

- building area
- teaching station designations
- utility services, service site development, off-site development, and general site development.

If no changes were made to the plans, a statement must be made to this effect on the Form SAB 390. ☺

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# Addenda

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## Introduction

Any changes made to the OSA approved final plans or specifications must be accomplished by means of addenda.

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## Reviewing Agencies

All addenda, except those affecting the management of the contract, must be approved by the OSA. However, the OLA will accept non-OSA approved addenda at this stage of the project. OSA approval must be obtained prior to a construction fund release.

The OLA must also review all addenda to determine the affect the addenda may have on the project. ☺

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## Phase III Apportionment: Construction

### Introduction

Upon submittal of the OSA approved final plan package as outlined in *Required Documents, page 3-C-1*, the OLA will prepare a recommendation to the SAB that the project application be approved and apportioned for Phase III construction funding as follows:

CATEGORY	DESCRIPTION	APPORTIONMENT
B. Plans	Architect Fees Only	Balance of fees not previously apportioned (usually 20%)
C. Construction	All eligible costs	100%
D. Tests	All eligible costs	100%
E. Inspection	All eligible costs	100%
F. Furniture & Equipment	All eligible costs	100%
G. Contingencies	As determined from eligible project costs	100%

The Phase III construction apportionment is calculated based on the final cost estimate.

### Sites Not Previously District Owned

For those projects which include the acquisition of real property not previously owned by the district, a grant deed to the property or the *Form SAB 509, Site Ownership Certification* (see *page 3-B-12*) is required prior to the Phase III SAB recommendation.

### Fund Release

Phase III funds will be released when a construction contract has been approved by the SAB (see *Phase III fund release, page 3-D-6*). ☺